



22883

PTO/SB/21 (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paper Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

S 0135
JNTRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

| | | | |
|--|----|------------------------|--------------|
| | | Application Number | 09/927,409 |
| | | Filing Date | Aug 10, 2001 |
| | | First Named Inventor | Hitz, David |
| | | Art Unit | 2135 |
| | | Examiner Name | Gyorfi, T. |
| Total Number of Pages in This Submission | 9+ | Attorney Docket Number | 103.1019.10 |

ENCLOSURES (check all that apply)

| | | |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form (2 copies) | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Group |
| <input checked="" type="checkbox"/> Fee Attached (PTO Form 2038 – 2 copies) | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | PTO Form SB08A |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | PTO Form SB08B |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | Copies of References |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | Return Postcard |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | | |
|-------------------------|----------------------|-----------------|
| Firm or Individual name | Steven A. Swernofsky | Reg. No. 33,040 |
| Signature | | |
| Date | 9-27-2005 | |

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

| | | | |
|----------------------|-------------|------|-----------|
| Type or printed name | DANIEL SIEZ | | |
| Signature | | Date | 9/27/2005 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

List of Documents

Applicant(s) submits herewith:

- Form PTO SB/08A (Information Disclosure Statement by Applicant) listing patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.
- Form PTO SB/08B (Information Disclosure Statement by Applicant) listing non-patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.

Copies of Documents

- Applicant(s) submits herewith copies of all listed documents.
- Copies of the listed documents are not included with this filing. Copies of these documents were previously submitted in the following related application:

Docket No.: _____
 Serial No.: _____
 Filed: _____

THE EXAMINER IS ENCOURAGED AND EXHORTED TO MAKE HIS OR HER OWN INDEPENDENT EVALUATION OF POSSIBLE RELEVANCE OF THE LISTED DOCUMENTS.

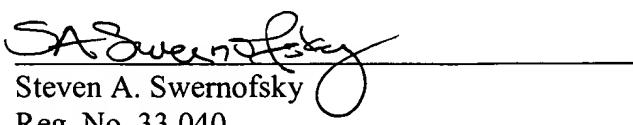
At the present time, Applicant(s) submits that the listed document(s), taken alone or in combination, neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

In the event fees are required, authorization is hereby granted to charge these fees to Deposit Account No. 50-0365.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

Date: 9-27-2005


 Steven A. Swernofsky
 Reg. No. 33,040

Swernofsky Law Group
 P.O. Box 390013
 Mountain View, CA 94039-0013
 (650) 947-0700



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Hitz

Serial No. 09/927,409

Filed: 8/10/2001

For: File Access Control in a Multi-Protocol
File Server

Art Unit: 2135

Examiner: Gyorfi, T.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on 9/27/2005 by MM
Date Name

INFORMATION DISCLOSURE STATEMENT

Honorable Commissioner
for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

This Information Disclosure Statement is submitted under:

37 CFR 1.97(b)
(Within three months of the national application filing or the entry of international application, OR before the mailing date of first Office Action, whichever occurs last.)

37 CFR 1.97(c) together with either a:
 Statement under 37 CFR 1.97(e)
or \$180.00 fee set forth in 37 CFR 1.17(p)
(After the CFR 1.97(b) time period, but before final Office Action or Notice of Allowance, whichever occurs first.)

37 CFR 1.97(d) together with a:
 Statement under 37 CFR 1.97(e)
and \$180.00 fee set forth in 37 CFR 1.17(p)
(After the CFR 1.97(c) time period, but before payment of the Issue fee.)

10/03/2005 SDENBOB1 00000031 09927409

01 FC:1806

180.00 0P

Please type a plus sign (+) inside this box →

Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
A collection of information unless it displays a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | |
|--|---|------------------------|------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | Application Number | 09/927,409 |
| 2005 | | Filing Date | 8/10/2001 |
| | | First Named Inventor | Hitz |
| | | Group Art Unit | 2135 |
| | | Examiner Name | Gyorfi, T. |
| Street | 1 | of | 1 |
| | | Attorney Docket Number | |
| | | 103.1019.10 | |

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶A applicant is to check a check mark here if English-language Translation is attached.

possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231.

Please type a plus sign (+) inside this box →

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|--|---|----|---|------------------------|------------|
| Substitute for form 1449A/PTO | | | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Application Number | 09/927,409 |
| | | | | Filing Date | 8/10/2001 |
| | | | | First Named Inventor | Hitz |
| | | | | Group Art Unit | 2135 |
| | | | | Examiner Name | Gyorfi, T. |
| Sheet | 1 | of | 1 | Attorney Docket Number | |
| 103.1019.10 | | | | | |

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

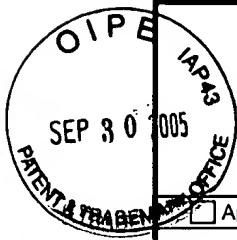
| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant Claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00)

Complete if Known

| | |
|----------------------|--------------|
| Application Number | 09/927,409 |
| Filing Date | 8/10/2001 |
| First Named Inventor | Hitz, et al. |
| Examiner Name | Gyorgi, T. |
| Art Unit | 2135 |
| Attorney Docket No. | 103.1019.10 |

METHOD OF PAYMENT (check all that apply)

 Check Credit card Money Order Other None
 Deposit Account

| | |
|------------------------|-------------------------|
| Deposit Account Number | 50-0365 |
| Deposit Account Name | Swernofsky Law Group PC |

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) or any underpayment of fee(s)
 Charge fee(s) indicated below, except for the filing fee

to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Description | Fee Paid |
|--------------|--------------|-----------------|------------------------|
| Fee Code | Fee Code | Fee (\$) | |
| 1001 | 2001 | 790 395 | Utility filing fee |
| 1002 | 2002 | 350 175 | Design filing fee |
| 1003 | 2003 | 550 275 | Plant filing fee |
| 1004 | 2004 | 790 395 | Reissue filing fee |
| 1005 | 2005 | 200 100 | Provisional filing fee |

SUBTOTAL (1) (\$ 0.00)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims | Independent Claims | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------|----------------|----------|
| | | -20**= | X | = |
| | | - 3**= | X | = |

Multiple Dependent

| Large Entity | Small Entity | Fee Description | Fee Paid |
|--------------|--------------|-----------------|---|
| Fee Code | Fee Code | Fee (\$) | |
| 1202 | 2202 | 50 25 | Claims in excess of 20 |
| 1201 | 2201 | 200 100 | Independent claims in excess of 3 |
| 1203 | 2203 | 360 180 | Multiple dependent claim, if not paid |
| 1204 | 2204 | 200 100 | **Reissue independent claims over original patent |
| 1205 | 2205 | 50 25 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0.00)

** or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES

Large Entity | Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|----------|----------|----------|----------|--|
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet |
| 1053 | 130 | 1053 | 130 | Non-English specification |
| 1812 | 2,520 | 1812 | 2,520 | For filing a request for ex parte reexamination |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action |
| 1805 | 1,840* | 1805 | 1,840* | Requesting publication of SIR after Examiner action |
| 1251 | 120 | 2251 | 60 | Extension for reply within first month |
| 1252 | 450 | 2252 | 225 | Extension for reply within second month |
| 1253 | 1,020 | 2253 | 510 | Extension for reply within third month |
| 1254 | 1,590 | 2254 | 795 | Extension for reply within fourth month |
| 1255 | 2,160 | 2255 | 1,080 | Extension for reply within fifth month |
| 1401 | 500 | 2401 | 250 | Notice of Appeal |
| 1402 | 500 | 2402 | 250 | Filing a brief in support of an appeal |
| 1403 | 1,000 | 2403 | 500 | Request for oral hearing |
| 1451 | 1,510 | 1451 | 1,510 | Petition to institute a public use proceeding |
| 1452 | 110 | 2452 | 55 | Petition to revive - unavoidable |
| 1453 | 1,370 | 2453 | 685 | Petition to revive - unintentional |
| 1501 | 1,400 | 2501 | 700 | Utility issue fee (or reissue) |
| 1502 | 800 | 2502 | 400 | Design issue fee |
| 1503 | 1,100 | 2503 | 550 | Plant issue fee |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner |
| 1807 | 50 | 1807 | 50 | Processing fee under 37 CFR 1.17(q) |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) |
| 1809 | 790 | 2809 | 395 | Filing a submission after final rejection (37 CFR 1.129(a)) |
| 1810 | 790 | 2810 | 395 | For each additional invention to be examined (37 CFR 1.129(b)) |
| 1801 | 790 | 2801 | 395 | Request for Continued Examination (RCE) |
| 1802 | 900 | 1802 | 900 | Request for expedited examination of a design application |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00)

| SUBMITTED BY | | Complete if applicable | | |
|-------------------|----------------------|-----------------------------------|--------|------------------------|
| Name (Print/Type) | Steven A. Swernofsky | Registration No. (Attorney/Agent) | 33,040 | Telephone 650-947-0700 |
| Signature | <i>SA Swernofsky</i> | | | Date 9-21-2005 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.